

PERFORMANCE WORK STATEMENT

1.0 INTRODUCTION

The Environmental Protection Agency (EPA) Region VII requires Records Management Support Services be obtained through a contract vehicle in order to serve its customers adequately.

EPA, compiles information in many forms which it uses to interact with the regulated community. EPA must be able to readily access all of its records to answer Freedom of Information Act (FOIA) and Congressional requests and prepare for various kinds of enforcement, litigation and regulatory activities. This demands an effective records management system be in place. Such a program provides consistency in the way records are managed, greater efficiency in the filing and retrieval of documents, increased document security, efficient preparation of files for cost recovery, litigation and improved utilization of available space.

The Region VII Records Center contains 21,700 linear feet of records storage space and 1,061 cubic feet of multi-media records storage space. The hours of operation are *7:00 a.m. to 5:00 p.m.* In the past year, approximately 8,500 requests for various records management services have been received for processing. The following types of services are provided:

- File plan development
- Collection development and maintenance
- Research
- Records disposition and retirement
- Manage, maintain, and safeguard confidential and sensitive materials

Personnel Qualifications

At least some personnel must have a minimum of three (3) years information management experience. Any proposed management personnel must have at least one (1) year experience in a management capacity. All personnel must have at least a high school diploma or its equivalent.

The work will be performed at the offices of EPA Region VII, located at 901 N. 5th Street, and the EPA Science and Technology Center, at 300 Minnesota Avenue, Kansas City, Kansas 66101. On occasion, a need may arise for the contractor to travel outside the Regional Office. Travel could encompass visitation to the Continuity of Operations Plan (COOP) site, Federal Records Center, and other records storage areas, etc. within the greater Kansas City area.

Contractor personnel will have access to confidential and sensitive information in the performance of assigned work. Contractor staff are prohibited from releasing any information about EPA files, data processing activities or functions, or any other knowledge of EPA operations or data. The contractor shall perform background checks on all on-site employees and have them sign confidentiality agreements to ensure sensitive data is not released. All contractor employees must adhere to Confidential Business Information (CBI) regulations, policies, and procedures. Each contract employee will receive EPA provided CBI training and certification

prior to handling confidential documents and attend “refresher” training each successive year.

2.0 REQUIRED TASKS

TASK 1 - MANAGEMENT OF RECORDS CENTER ACTIVITIES

The contractor shall be responsible for ensuring work continuity in accordance with defined tasks and contract requirements. Tasks include but are not limited to: 1) document pickup and delivery; 2) scheduling work to meet program deadlines; 3) performing routine records management duties; 4) securing documents in the Records Center and/or other designated areas; 5) complying with OSHA and EPA safety procedures and practices, and EPA, Superfund (SPFD), Resource Conservation and Recovery Act (RCRA), and Clean Water Act, program directives and guidance.

Acceptable performance of this task requires that; (1) document pickup and delivery is completed by 10:00 a.m. and 2:00 p.m. daily, (2) routine filing is completed within five (5) work days, and (3) that no breach in security occurs by allowing authorized access to CBI and/or sensitive information, and that supplies are available for use so normal flow of business is not interrupted.

The tasks performed under this contract will be monitored by the Project Officer (PO) and/or Alternate Project Officer (APO). The PO will utilize customer feedback, and personal observation, to evaluate performance of this task. The contractor will consult with the PO as necessary to resolve any security access issues and/or conflicts in prioritization of requested projects.

TASK 2 - INTELLECTUAL CONTROL OF RECORDS

The contractor shall conduct records inventories to determine the volume of records, the content of filing equipment, and the proper order of records filed. Expertise shall be provided in the development of new filing systems, manuals, and file plans in addition to maintaining existing file plans. In order to provide records control from inception to disposition, PC based software will be used. The following databases are examples of the types utilized by Records Center personnel (i.e. Domino.Doc, dBASE, SDMS, RDMS, WISDMS, fox base, clipper, etc.)

To be deemed acceptable, forms/reports will be grammatically correct, easily legible and contain all required information in accordance with Standard Operating Procedures. Deliverables will be received by designated individuals by the due date specified, and include all required information. Reports will be generated from up-to-date databases using current information.

The PO will examine all reports and deliverables to ensure that reported information is correct, time frames are met, information submitted is correct, and is presented in the required format. In addition, the PO will utilize customer feedback surveys to monitor performance of

this task.

TASK 3 - MAINTENANCE OF ACTIVE AND INACTIVE RECORDS

The contractor shall preserve records (any medium) according to guidelines issued by EPA and National Archives and Records Administration (NARA).

Access to records and related documents will be provided in accordance with Agency, Regional, and program specific access procedures. Access lists will be provided to contractor personnel for verification of authority to view protected collections. The contractor may be required to segregate sensitive material, remove information identified by Agency personnel, file redacted copies, and track what information has been released relative to protected collections. Information to be removed for purpose of disclosure will be identified by EPA personnel.

The contractor shall collect, organize, index, scan, redact, and inventory records in accordance with established structures. Records identified by EPA as enforcement sensitive, confidential, attorney work products, and support contract documents shall be clearly labeled and handled in accordance with EPA guidance documents. Walk-in, phone-in, and written requests for records and information shall be received and processed. Such requests may include and require research, retrieval, and copying relative to FOIA requests and Congressional inquiries.

All phases of records disposition shall be performed, including identification by EPA Records Disposition Schedule, compilation of special collections, retirement to inactive storage, recall from inactive storage, and destruction authorized by EPA personnel in accordance with the guidance documents. This includes special collections as well as routine records.

Acceptable performance for this task means that files are organized and filed in accordance with EPA, NARA, and Regional guidance documents, and that confidential and sensitive files are clearly labeled as to be easily distinguishable from "routine" files.

In addition, acceptable performance for this task means that information requested in response to routine requests/searches, FOIA requests, or Congressional inquiries is provided to the authorized requestor within three (3) work days. In the case of high volume copying, (in excess of 500 pages) the requestor receives same day notification of any delay and is provided a specific date when the project will be completed.

Finally, acceptable performance also means that no unauthorized disclosure of any information occurs; that non-EPA employees accessing information in the Records Center are authorized in writing by an appropriate EPA employee to see the information, that their names are recorded in the Review Log, along with the name of the file requested and the action taken; and records recommended for purging, destruction, or retirement are identified and submitted to the PO, destruction and retirement activity are recorded in the technical report; that

no shipments of transferred or retired records are refused due to improper indexing/boxing/labeling/shipping procedures; and documents approved for destruction are destroyed in a timely manner.

The PO will perform a random 5% sampling of work products produced as well as personal observation to verify accuracy, timeliness, and completeness of this task. PO will review work performed to evaluate compliance with Agency regulations and guidelines

TASK 4 - SPECIALIZED SERVICES

Contractor will be required to conduct brief records management training sessions to familiarize customers with procedures and responsibilities. This includes producing any training or administrative support materials used to conduct the training. Support materials shall be approved by the PO prior to any training being given.

Mailings of records management materials may be required. Contractor shall draft transmittal letter for Project Officer's signature to accompany such mailings.

Transfer of documents to and retrieval from alternate storage media (microform, optical disk, CD ROM) shall be performed. The contractor shall prepare documents for conversion, ensure there is a complete, readable copy, and index the completed product.

The contractor may be required to develop new records management procedures in addition to maintaining, and updating all current records procedures manuals, reference aids, and guides.

Acceptable performance for this task is defined as follows: training sessions are informative and materials useful as reference; mailings are not sent out without the PO's knowledge and signature; all document/record conversions are prepared, reviewed, and indexed in accordance with written instructions; procedures are developed (when tasked) and always maintained and updated.

The PO and/or APO will monitor activities by performing 5% random checks on work products produced. In addition to sampling, customer service surveys will be used to further determine if customer needs are being fulfilled. The PO will monitor contractor performance to ensure that acceptable services are being provided.

TASK 5 - ADMINISTRATIVE SUPPORT FUNCTIONS

The contractor shall track and maintain technical reference documents.

Bar codes shall be affixed at the document and folder level in accordance with the SOP.

Assistance in the compilation of special collections of documents shall be required. This includes: a) collection of documents; b) duplication of documents; c) preparation of indexes; d) preparation of amendments and updates; e) mailing of collections; f) inspecting collections

Acceptable performance is defined as follows: documents for inclusion in technical reference files are entered into the system within ten (10) work days of receipt; retrieval and copy requests of documents are completed within three (3) work days; bar code labels are affixed to appropriate documents upon receipt in the Records Center; draft indexes for special collections of documents are produced, finalized, documents pulled and assembled, and transmittals completed by date requested.

The PO will perform 5% random sampling of system records, comparing index data and hard copy to verify accuracy and completeness and that work is completed by the date requested.

TASK 6 - EMERGENCY SUPPORT FUNCTIONS

The Continuity of Operations Plan (COOP), along with the Vital Records Program, provides guidance and procedures that will allow EPA Region 7 to rebuild essential operations, ensure that Agency records are protected and efficiently recovered or salvaged using cost effective methods necessary to resume Agency operations during and after an emergency or natural disaster. The full intention of these programs are to sustain the Region's critical operations until the Region becomes fully operational.

In the wake of September 11, 2001, the awareness of potential disaster is heightened and the need for safeguarding records so that they are available in an emergency is increasingly recognized. The primary authority establishing the Vital Records Mitigation and Recovery Plan within the Federal Government is 36 Code of Federal Regulations, Chapter XII, Part 1236, Management of Vital Records. Region 7, as required by statute and regulation, has established a vital records protection program. The Records Program along with the assistance of contract staff is committed to protect and safeguard vital records.

Contract personnel shall assist in non-life threatening mitigation and recovery efforts by performing the following tasks:

- Contractor must notify their employees of emergency situations which involve the EPA
- Safeguard records targeted as vital records and provide on going support of records both on and off site
- In cases of emergency, identify records impacted by disaster, carrying out appropriate salvage efforts
- Participate in records recovery efforts by packing out and relocation of damaged materials

- Ensure that sensitive and confidential materials remain safeguarded

3.0 TRAVEL COST

Some travel will be required in the performance of this contract. Travel costs will be reimbursed on a cost incurred basis in accordance with the Joint Travel Regulations (JTR). The contractor should send one representative to meetings, EPA conferences and seminars, for developmental purposes. EPA conferences are held once per year at various locations throughout the United States. Routine travel may also be necessary within the local commuting area.

4.0 DELIVERABLES

Deliverables will be submitted to both the EPA Contract Officer (CO) and the PO in electronic or paper format on the 22nd of each and every month or quarter whichever is applicable.

Monthly Technical and Site Specific Charge Report for Records Management Activities Due 22nd of each month.

The Monthly Technical and Site Specific Charge Report for Records Management Activities will address highlights of Records Center activities, (i.e. lineal feet of records disposed, administrative record activity for the month, special projects started and completed, number of documents scanned, indexed, and filed, number of FOIAs completed, total number of copies made, etc..) The contractor will charge site specific by site name and Standard Site Identification Number (SSIC) for any activity on a Superfund site that exceeds 15 minutes.

Production Overview Report - DUE: 22nd of each month.

An accounting of the number of hours spent on each program's records during the month.

Quarterly Recap of Administrative Record - Due: 22nd day of May, Aug, Nov and Feb.

A listing of Administrative Record activity for that period (i.e. ARs started, ARs completed, ARs revised, ARs out for review, *dates of* completion of all *ARs* completed during the quarter.

5.0 - INCENTIVES

No. 1 Customer Satisfaction

An incentive equal to 2.5% of the fixed monthly amount may be earned if customer satisfaction surveys received average at least a 95% rating for all three (3) months in a given quarter (February 16 through May 15, May 16 through August 15, etc.) Customer satisfaction will be measured by completed Customer Satisfaction Survey Forms returned to the Project Officer at the completion of each action performed. The customer will be asked to rank the performance of the contractor by assigning a numeric scoring ranging from (1) Poor to 5 Excellent.

No. 2 Special Collections

This incentive applies to Tasks 2, 3, and 5

An incentive of 2.5% of the value of one months compensation of this contract may be earned if at least 30 special collections requiring assembly in 3" binders (or equivalent) are received and processed within the quarter (February 16 - May 15, May 16 - August 15, etc.). Clear, concise, accurate, and timely special collection compilation, duplication, and mailing will be measured by Customer Service Surveys, visual audits, and spot checking of work completed.

6.0 NEGATIVE INCENTIVES

No 1. Negative Incentive Customer Satisfaction

A negative incentive equal to 2.5% of the fixed monthly amount for this contract may be assessed if the contractor receives a customer service rating of 75% or below for any task during the quarter.

No. 2 Negative Incentive Records Security

A negative incentive equal to 2.5% of the fixed monthly amount of this contract may be assessed if documents are left unprotected or access to view protected documents is granted without consulting rosters of authorized individuals or PO/APO approval. Rosters of authorized individuals allowed to view protected documents will be updated immediately upon receipt of changes from the PO/APO. Security of Records will be monitored by walk-through and audit of access logs to assure that no unauthorized release of or access to protected documents has occurred. This negative incentive may be assessed one time per month.

No. 3 Negative Incentive Records Processing and Maintenance Accuracy

A negative incentive equal to 2.5% of the fixed monthly amount may be assessed if in more than three instances in any month, documents are found to be filed incorrectly, and/or indexed incorrectly, and/or scanning is incomplete, and/or documents cannot be retrieved and/or inventoried, and/or if improper disposition/destruction procedures are not followed. This negative incentive may be assessed one time per month.

Monitoring of records processing and maintenance will be accomplished by visual audit by the PO and Customer Satisfaction Surveys for indexing, coding, scanning, and filing of incoming documents, and retrieval and duplication of material within time frames established.

PO/APO will visually audit records inventories in order to assure that all records are properly filed and maintained and that no records are on the shelf past their authorized disposal date without written justification and approval by the program.

7.0 Definitions

Complete means: All work products, documents, or other deliverables which are required by statute, regulation, and guidance are submitted by the contractor, or an exception granted by the PO to the CO.

Accurate means: The content of all work products, documents, or other deliverables submitted have been determined by the contractor to be true, to the best of the contractor's knowledge and belief, or to be true and correct original or photocopies of relevant documents whose contents cannot be verified by the contractor but which are nevertheless important to the Agency.

Delivered on time means: All work products, documents or other deliverables are placed in the custody or control of the PO or requestor on or before the date agreed upon, unless an extension is granted.

8.0 BACKGROUND AUTHORITIES:

- a. Legal Authority
 - 44 U.S.C. Chapter 3101, Records Management by Agency Heads; General Duties
 - 44 U.S.C. Chapter 33, Disposition of Records
 - 18 U.S.C. Chapter 101 Records and Reports
 - 5 U.S.C. 552, Freedom of Information Act as amended
 - 5 U.S.C. 553, Rule Making
 - 40 C.F.R. 2, Public Information
 - 36 C.F.R. Chapter XII, Part 1236 - Management of Vital Records
 - The Paperwork Reduction Act of 1995
- b. Regulatory Authority
 - National Archives and Records Administration (NARA)
 - Federal Emergency Management Agency (FEMA) Federal Preparedness Circular - Vital Files, Records, and Databases
 - EPA Vital Records Order
 - U.S. EPA Uniform EPA National Security Emergency Preparedness Policy (2040.1A1)

U.S. EPA Uniform Continuity of Operations Plan (COOP) Policy (2030.1)
U.S. EPA Records Management Manual (Directive 2160)

- c. Background documents
 - Procedures manuals for CBI, FOIA, Superfund, and RCRA
 - EPA Region 7 Records Procedures Manual
 - EPA Region 7 Program File Plans
 - EPA Confidential Business Information Procedures
 - Regional Records Center Standard Operating Procedures Manual
 - RCRA Facility Files Manual
 - SPFD Records Center Operations Manual
 - SPFD Site Team Records Management Manual
 - SPFD Document Management System Records Center Staff User Manual
 - Water Guidance Documents